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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

TI-29010

First Named Inventor or Application Identifier

Jacek Stachurski

Title

Spectral Harmonic Encoding in Speech  
Compression

Express Mail Label No.

EL233151729US

On Page 1 of the specification, before line 1, insert -This application claims priority under  
35 USC § 119(e)(1) of provisional application number 60/124,089 filed 03/12/1999.--

## APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents

## ADDRESS TO:

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2. ☒ Specification [Total Pages **13**]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R&D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC d113) [Total Sheets **7**]
4. Oath or Declaration [Total Pages **2**]  
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Signed statement attached deleting inventor(s)  
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## APPLICATION INFORMATION

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Title Line Two:: pression  
Total Drawing Sheets:: 7  
Formal Drawings?: No  
Application Type:: Utility  
Docket Number:: TI-29010  
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## REPRESENTATIVE INFORMATION

Representative Customer Number:: 23494

## CONTINUITY INFORMATION

This application is a:: NONPROVISIONAL OF  
> Application One:: 60/124,089  
Filing Date:: 03-12-1999

Source:: PrintEFS Version 1.0

## ENCODING IN SPEECH COMPRESSION

### BACKGROUND OF THE INVENTION

The invention relates to electronic devices, and, more particularly, to speech coding, transmission, storage, and synthesis circuitry and methods.

The performance of digital speech systems using low bits rates has become increasingly important with current and foreseeable digital communications. One digital speech method, linear predictive coding (LPC), uses a parametric model to mimic human speech. In this approach only the parameters of the speech model are transmitted across the communication channel (or stored), and a synthesizer regenerates the speech with the same perceptual characteristics as the input speech waveform. Periodic updating of the model parameters requires fewer bits than direct representation of the speech signal, so a reasonable LPC vocoder can operate at bits rates as low as 2-3 Kbps (kilobits per second) whereas the public telephone system uses 64 Kbps (8 bit PCM codewords at 8,000 samples per second). See for example, McCree et al, A 2.4 Kbit/s MELP Coder Candidate for the New U.S. Federal Standard, Proc. IEEE Int.Conf.ASSP 200 (1996) and USP 5,699,477.

However, the speech output from such LPC vocoders is not acceptable in many applications because it does not always sound like natural human speech, especially in the presence of background noise. And there is a demand for a speech vocoder with at least telephone quality speech at a bit rate of about 4 Kbps. Various approaches to improve quality include enhancing the estimation of the parameters of a mixed excitation linear prediction (MELP) system and more efficient quantization of them. See Yeldener et al, A Mixed Sinusoidally Excited Linear Prediction coder at 4 kb/s and Below, Proc. IEEE Int. Conf. Acoust.,Speech,Signal Processing (1998) and Shlomot et al, Combined Harmonic and Waveform Coding of Speech at Low Bit Rates, IEEE ... 585 (1998).

## SUMMARY OF THE INVENTION

The present invention provides a linear predictive coding method with the residual's Fourier coefficients classified into overlapping classes with each class having its own vector quantization codebook(s).

Additionally, both strongly predictive and weakly predictive codebooks may be used but with a weak predictor replacing a strong predictor which otherwise would have followed a weak predictor.

This has the advantages including maintenance of low bit rates but with increased performance and avoidance of error propagation by a series of strong predictors.

## BRIEF DESCRIPTION OF THE DRAWINGS

The drawings are heuristic for clarity.

Figures 1a-1b are flow diagrams of a preferred embodiments.

Figures 2a-2b illustrate preferred embodiment coder and decoder in block format.

Figures 3a-3d show an LP residual and its Fourier transforms.

## DESCRIPTION OF THE PREFERRED EMBODIMENTS

### Overview

First preferred embodiments classify the spectra of the linear prediction (LP) residual (in a MELP coder) into classes of spectra (vectors) and vector quantize each class separately. For example, one first preferred embodiment classifies the spectra into long vectors (many harmonics which correspond roughly to low pitch frequency as typical of male speech) and short vectors (few harmonics which correspond roughly to high pitch frequency as typical of female speech). These spectra are then vector quantized with separate codebooks to facilitate encoding of vectors with different numbers of components (harmonics). Figure 1a shows the classification flow and includes an overlap of the classes.

Second preferred embodiments allow for predictive coding of the spectra (or alternatively, other parameters such as line spectral frequencies or LSFs) and a selection of either the strong or weak predictor based on best approximation but with the proviso that a first strong predictor which otherwise follows a weak predictor is replaced with a weak predictor. This deters error propagation by a sequence of strong predictors of an error in a weak predictor preceding the series of strong predictors. Figure 1b illustrates a predictive coding control flow.

### MELP model

Figures 2a-2b illustrate preferred embodiment MELP coding (analysis) and decoding (synthesis) in block format. In particular, the Linear Prediction Analysis determines the LPC coefficients  $a(j)$ ,  $j = 1, 2, \dots, M$ , for an input frame of digital speech samples  $\{y(n)\}$  by setting

$$e(n) = y(n) - \sum_{j=1}^M a(j)y(n-j) \quad (1)$$

and minimizing  $\sum e(n)^2$ . Typically,  $M$ , the order of the linear prediction filter, is taken to be about 10-12; the sampling rate to form the samples  $y(n)$  is taken to be 8000 Hz (the same as the public telephone network sampling for digital transmission); and the number of samples  $\{y(n)\}$  in a frame is often 160 (a 20 msec frame) or 180 (a 22.5 msec frame). A frame of samples may be generated by various windowing operations applied to the input speech samples. The name

“linear prediction” arises from the interpretation of  $e(n) = y(n) - \sum_{M \geq j \geq 1} a(j)y(n-j)$  as the error in predicting  $y(n)$  by the linear sum of preceding samples  $\sum_{M \geq j \geq 1} a(j)y(n-j)$ . Thus minimizing  $\sum e(n)^2$  yields the  $\{a(j)\}$  which furnish the best linear prediction. The coefficients  $\{a(j)\}$  may be converted to LSFs for quantization and transmission.

The  $\{e(n)\}$  form the LP residual for the frame and ideally would be the excitation for the synthesis filter  $1/A(z)$  where  $A(z)$  is the transfer function of equation (1). Of course, the LP residual is not available at the decoder; so the task of the encoder is to represent the LP residual so that the decoder can generate the LP excitation from the encoded parameters.

The Band-Pass Voicing for a frequency band of samples (typically two to five bands, such as 0-500 Hz, 500-1000 Hz, 1000-2000 Hz, 2000-3000 Hz, and 3000-4000 Hz) determines whether the LP excitation derived from the LP residual  $\{e(n)\}$  should be periodic (voiced) or white noise (unvoiced) for a particular band.

The Pitch Analysis determines the pitch period (smallest period in voiced frames) by low pass filtering  $\{y(n)\}$  and then correlating  $\{y(n)\}$  with  $\{y(n+m)\}$  for various  $m$ ; interpolations provide for fractional sample intervals. The resultant pitch period is denoted  $pT$  where  $p$  is a real number, typically constrained to be in the range 20 to 132 and  $T$  is the sampling interval of 1/8 millisecond. Thus  $p$  is the number of samples in a pitch period. The LP residual  $\{e(n)\}$  in voiced bands should be a combination of pitch-frequency harmonics.

Fourier Coeff. Estimation provides coding of the LP residual for voiced bands. The following sections describe this in detail.

Gain Analysis sets the overall energy level for a frame.

The encoding (and decoding) may be implemented with a digital signal processor (DSP) such as the TMS320C30 manufactured by Texas Instruments which can be programmed to perform the analysis or synthesis essentially in real time.

### Spectra of the residual

Figure 3a illustrates an LP residual  $\{e(n)\}$  for a voiced frame and includes about eight pitch periods with each pitch period about 26 samples. Figure 3b shows the magnitudes of the  $\{E(j)\}$  for one particular period of the LP residual, and Figure 3c shows the magnitudes of the  $\{E(j)\}$  for all eight pitch periods. For a voiced frame with pitch period equal to  $pT$ , the Fourier coefficients peak about  $1/pT, 2/pT, 3/pT, \dots, k/pT, \dots$ ; that is, at the fundamental frequency  $1/pT$  and harmonics. Of course,  $p$  may not be an integer, and the magnitudes of the Fourier coefficients at the fundamental-frequency harmonics, denoted  $X[1], X[2], \dots, X[k], \dots$  must be estimated. These estimates will be quantized, transmitted, and used by the decoder to create the LP excitation.

The  $\{X[k]\}$  may be estimated by various methods: for example, apply a discrete Fourier transform to the samples of a single period (or small number of periods) of  $e(n)$  as in Figures 3b-3c; alternatively, the  $\{E(j)\}$  can be interpolated. Indeed, one interpolation approach applies a 512-point discrete Fourier transform to an extended version of the LP residual, which allows use of a fast Fourier transform. In particular, extend the LP residual  $\{e(n)\}$  of 160 samples to 512 samples by setting  $e_{512}(n) = e(n)$  for  $n = 0, 1, \dots, 159$ , and  $e_{512}(n) = 0$  for  $n = 160, 161, \dots, 511$ . Then the discrete Fourier transform magnitudes appear as in Figure 3d with coefficients  $E_{512}(j)$  which essentially interpolate the coefficients  $E(j)$  of Figures 3b-3c. Estimate the peaks  $X[k]$  at frequencies  $k/pT$ . The preferred embodiment only uses the magnitudes of the Fourier coefficients, although the phases could also be used. Because the LP residual components  $\{e(n)\}$  are real, the discrete Fourier transform coefficients  $\{E(j)\}$  are conjugate symmetric:  $E(k) = E^*(N-k)$  for an  $N$ -point discrete Fourier transform. Thus only half of the  $\{E(j)\}$  need be used for magnitude considerations.

### Codebooks for Fourier coefficients

Once the estimated magnitudes of the Fourier coefficients  $X[k]$  for the fundamental pitch frequency and harmonics  $k/pT$  have been found, they must be transmitted with a minimal number of bits. The preferred embodiments use

vector quantization of the spectra. That is, treat the set of Fourier coefficients  $X[1], X[2], \dots, X[k], \dots$  as a vector in a multi-dimensional quantization, and transmit only the index of the output quantized vector. Note that there are  $[p]$  or  $[p]+1$  coefficients, but only half of the components are significant due to their conjugate symmetry. Thus for a short pitch period such as  $pT = 4$  milliseconds ( $p = 32$ ), the fundamental frequency  $1/pT$  ( $= 250$  Hz) is high and there are 32 harmonics, but only 16 would be significant (not counting the DC component). Similarly, for a long pitch period such as  $pT = 12$  milliseconds ( $p = 96$ ), the fundamental frequency ( $= 83$  Hz) is low and there are 48 significant harmonics.

In general, the set of output quantized vectors may be created by adaptive selection with a clustering method from a set of input training vectors. For example, a large number of randomly selected vectors (spectra) from various speakers can be used to form a codebook (or codebooks with multistep vector quantization). Thus a quantized and coded version of an input spectrum  $X[1], X[2], \dots, X[k], \dots$  can be transmitted as the index in the codebook of the quantized vector and which may be 20 bits.

As illustrated in Figure 1a, the first preferred embodiments proceed with vector quantization of the Fourier coefficient spectra as follows. First, classify a Fourier coefficient spectrum (vector) according to the corresponding pitch period: if the pitch period is less than  $55T$ , the vector is a "short" vector, and if the pitch period is more than  $45T$ , the vector is a "long" vector. Some vectors will qualify as both short and long vectors. Vector quantize the short vectors with a codebook of 20-component vectors, and vector quantize the long vectors with a codebook of 45-component vectors. As described previously, conjugate symmetry of the Fourier coefficients implies only the first half of the vector components are significant and used. And for short vectors with less than 20 significant components, expand to 20 components by appending components equal to 1. Analogously for long vectors with fewer than 45 significant components, expand to 45 components by appending components equal to 1. Each codebook has  $2^{20}$  output quantized vectors, so 20 bits will index the output



quantized vectors in each codebook. One bit could be used to select the codebook, but the pitch is transmitted and can be used to determine whether the 20 bits are long or short vector quantization.

For a vector classified as both short and long, use the same classification as the preceding frame's vector; this avoids discontinuities and provides a hysteresis by the classification overlap. Further, if the preceding frame was unvoiced, then take the vector as short if the pitch period is less than  $50T$  and long otherwise.

Apply a weighting factor to the metric defining distance between vectors. The distance is used both for the clustering of training vectors (which creates the codebook) and for the quantization of Fourier component vectors by minimum distance. In general, define a distance between vectors  $X_1$  and  $X_2$  by  $d(X_1, X_2) = (X_1 - X_2)^T W (X_1 - X_2)$  with  $W$  a matrix of weights. Thus define matrices  $W_{\text{short}}$  for short vectors and matrices  $W_{\text{long}}$  for long vectors; further, the weights may depend upon the length of the vector to be quantized. Then for short vectors take  $W_{\text{short}}[j, k]$  very small for either  $j$  or  $k$  larger than 20; this will render the components  $X_1[k]$  and  $X_2[k]$  irrelevant for  $k$  larger than 20. Further, take  $W_{\text{short}}[j, k]$  decreasing as  $j$  and  $k$  increase from 1 to 20 to emphasize the lower vector components. That is, the quantization will depend primarily upon the Fourier coefficients for the fundamental and low harmonics of the pitch frequency. Analogously, take  $W_{\text{long}}[j, k]$  very small for  $j$  or  $k$  larger than 45.

Further, the use of predictive coding could be included to reduce the magnitudes and decrease the quantization noise as described in the following.

#### Predictive coding

A differential (predictive) approach will decrease the quantization noise. That is, rather than vector quantize a spectrum  $X[1], X[2], \dots, X[k], \dots$ , first generate a prediction of the spectrum from the preceding one or more frames' quantized spectra (vectors) and just quantize the difference. If the current frame's vector can be well approximated from the prior frames' vectors, then a "strong" prediction can be used in which the difference between the current

frame's vector and a strong predictor may be small. Contrarily, if the current frame's vector cannot be well approximated from the prior frames' vectors, then a "weak" prediction (including no prediction) can be used in which the difference between the current frame's vector and a predictor may be large. For example, a simple prediction of the current frame's vector  $X$  could be the preceding frame's quantized vector  $Y$ , or more generally a multiple  $\alpha Y$  with  $\alpha$  a weight factor (between 0 and 1). Indeed,  $\alpha$  could be a diagonal matrix with different factors for different vector components. For  $\alpha$  values in the range 0.7-1.0, the predictor  $\alpha Y$  is close to  $Y$  and if also close to  $X$ , the difference vector  $X - \alpha Y$  to be quantized is small compared to  $X$ . This would be a strong predictor, and the decoder recovers an estimate for  $X$  by  $Q(X - \alpha Y) + \alpha Y$  with the first term the quantized difference vector  $X - \alpha Y$  and the second term from the previous frame and likely the dominant term. Conversely, for  $\alpha$  values in the range 0.0-0.3, the predictor is weak in that the difference vector  $X - \alpha Y$  to be quantized is likely comparable to  $X$ . In fact,  $\alpha = 0$  is no prediction at all and the vector to be quantized is  $X$  itself.

The advantage of strong predictors follows from the fact that with the same size codebooks, quantizing something likely to be small (strong-predictor difference) will give better average results than quantizing something likely to be large (weak-predictor difference).

Thus train four codebooks: (1) short vectors and strong prediction, (2) short vectors and weak prediction, (3) long vectors and strong prediction, and (4) long vectors and weak prediction. Then process a vector as illustrated in the top portion of Figure 1b: first the vector  $X$  is classified as short or long; next, the strong and weak predictor vectors,  $X_{\text{strong}}$  and  $X_{\text{weak}}$ , are generated from previous frames' quantized vectors and the strong predictor and weak predictor codebooks are used for vector quantization of  $X - X_{\text{strong}}$  and  $X - X_{\text{weak}}$ , respectively. Then the two results  $(Q(X - X_{\text{strong}}) + X_{\text{strong}})$  and  $(Q(X - X_{\text{weak}}) + X_{\text{weak}})$  are compared to the input vector and the better approximation (strong or weak predictor) is

selected. A bit is transmitted (to indicate whether a strong or weak predictor was used) along with the 20-bit codebook index for the quantization vector. The pitch determines whether the vector was long or short.

#### Prediction control

In a frame erasure the parameters (i.e., LSFs, Fourier coefficients, pitch, ...) corresponding to the current frame are considered lost or unreliable and the frame is reconstructed based on the parameters from the previous frames. In the presence of frame erasures the error resulting from missing a set of parameters will propagate throughout the series of frames for which a strong prediction is used. If the error occurs in the middle of the series, the exact evolution of the predicted parameters is compromised and some perceptual distortion is usually introduced. When a frame erasure happens within a region where a weak predictor is consistently selected, the effect of the error will be localized (it will be quickly reduced by the weak prediction). The largest degradation in the reconstructed frame is observed whenever a frame erasure occurs for a frame with a weak predictor followed by a series of frames for which a strong predictor is chosen. In this case the evolution of the parameters is buildup on a parameter very different from that which is supposed to start the evolution.

Thus a second preferred embodiment analyzes the predictors used in a series of frames and controls their sequencing. In particular, for a current frame which otherwise would use a strong predictor immediately following a frame which used a weak predictor, one preferred embodiment modifies the current frame to use the weak predictor but does not affect the next frame's predictor. Figure 1b illustrates the decisions.

A simple example will illustrate the effect of this preferred embodiment. Presume a sequence of frames with Fourier coefficient vectors  $X_1, X_2, X_3, \dots$  and presume the first frame uses a weak predictor and the second, third, fourth, ... frames use strong predictors, but the preferred embodiment replaces the second frame's strong predictor with a weak predictor. Thus the transmitted quantized

difference vector for the first frame is  $Q(X_1 - X_{1\text{weak}})$  and without erasure the decoder recovers  $X_1$  as  $Q(X_1 - X_{1\text{weak}}) + X_{1\text{weak}}$  with the first term likely the dominant term due to weak prediction. Similarly, the usual decoder recovers  $X_2$  as  $Q(X_2 - X_{2\text{strong}}) + X_{2\text{strong}}$  with the second term dominant, and analogously for  $X_3, X_4, \dots$ . In contrast, the preferred embodiment decoder recovers  $X_2$  as  $Q(X_2 - X_{2\text{weak}}) + X_{2\text{weak}}$  but with the first term likely dominant.

Note that the decoder recreates  $X_{1\text{weak}}$  from the preceding reconstructed frames' vectors  $X_0, X_{-1}, \dots$ , and similarly for  $X_{2\text{strong}}$  and  $X_{2\text{weak}}$  recreated from reconstructed  $X_1, X_0, \dots$ , and likewise for the other predictors.

Now with an erasure of the first frame parameters the vector  $Q(X_1 - X_{1\text{weak}})$  is lost and the decoder reconstructs the  $X_1$  by something such as just repeating reconstructed  $X_0$  from the prior frame. However, this may not be a very good approximation because originally a weak predictor was used. Then for the second frame, the usual decoder reconstructs  $X_2$  by  $Q(X_2 - X_{2\text{strong}}) + Y_{2\text{strong}}$  with  $Y_{2\text{strong}}$  the strong predictor recreated from  $X_0, X_0, \dots$  rather than from  $X_1, X_0, \dots$  because  $X_1$  was lost and replaced by possibly poor approximation  $X_0$ . Thus the error would roughly be  $X_{2\text{strong}} - Y_{2\text{strong}}$  which likely is large due to the strong predictor being the dominant term compared to the difference term  $Q(X_2 - X_{2\text{strong}})$ . And this also applies to the reconstruction of  $X_3, X_4, \dots$

Contrarily, the preferred embodiment reconstructs  $X_2$  by  $Q(X_2 - X_{2\text{weak}}) + Y_{2\text{weak}}$  with  $Y_{2\text{weak}}$  the weak predictor recreated from  $X_0, X_0, \dots$  rather than from  $X_1, X_0, \dots$  again because  $X_1$  was lost and replaced by possibly poor approximation  $X_0$ . Thus the error would roughly be  $X_{2\text{weak}} - Y_{2\text{weak}}$  which likely is small due to the weak predictor being the smaller term compared to the difference term  $Q(X_2 - X_{2\text{weak}})$ . And this smaller error also applies to the reconstruction of  $X_3, X_4, \dots$

Indeed for the case of the predictors  $X_{2\text{strong}} = \alpha X_1$  with  $\alpha = 0.8$  and  $X_{2\text{weak}} = \alpha X_1$  with  $\alpha = 0.2$ , the usual decoder error would be  $0.8(X_1 - X_0)$  for reconstruction of  $X_2$  and the preferred embodiment decoder error would be  $0.2(X_1 - X_0)$ .

### Alternative prediction control

Alternative second preferred embodiments modify two (or more) successive frame's strong predictors after a weak predictor frame to be weak predictors. That is, a sequence of weak, strong, strong, strong, ... would be changed to weak, weak, weak, strong, ...

The foregoing replacement of strong predictors by weak predictors provides a tradeoff of increased error robustness for slightly decreased quality (the weak predictors being used in place of better strong predictors).

This prediction control also applies more generally to many types of coding, such as video compression, ...

### Modifications

The preferred embodiments can be modified in various ways while retaining the features of

## CLAIMS (29010)

What is claimed is:

1. An encoding system using strong and weak predictors, comprising the step of:
  - (a) replace a strong predictor following a weak predictor with a weak predictor.

## ABSTRACT OF DISCLOSURE

Linear predictive system with classification of LP residual Fourier coefficients into two or more overlapping classes, and each class has its own vector quantization codebook(s). And modified use of strong and weak predictors to replace a strong predictor following a weak predictor with a weak predictor to insure attenuation of error propagation as arise from frame erasures.

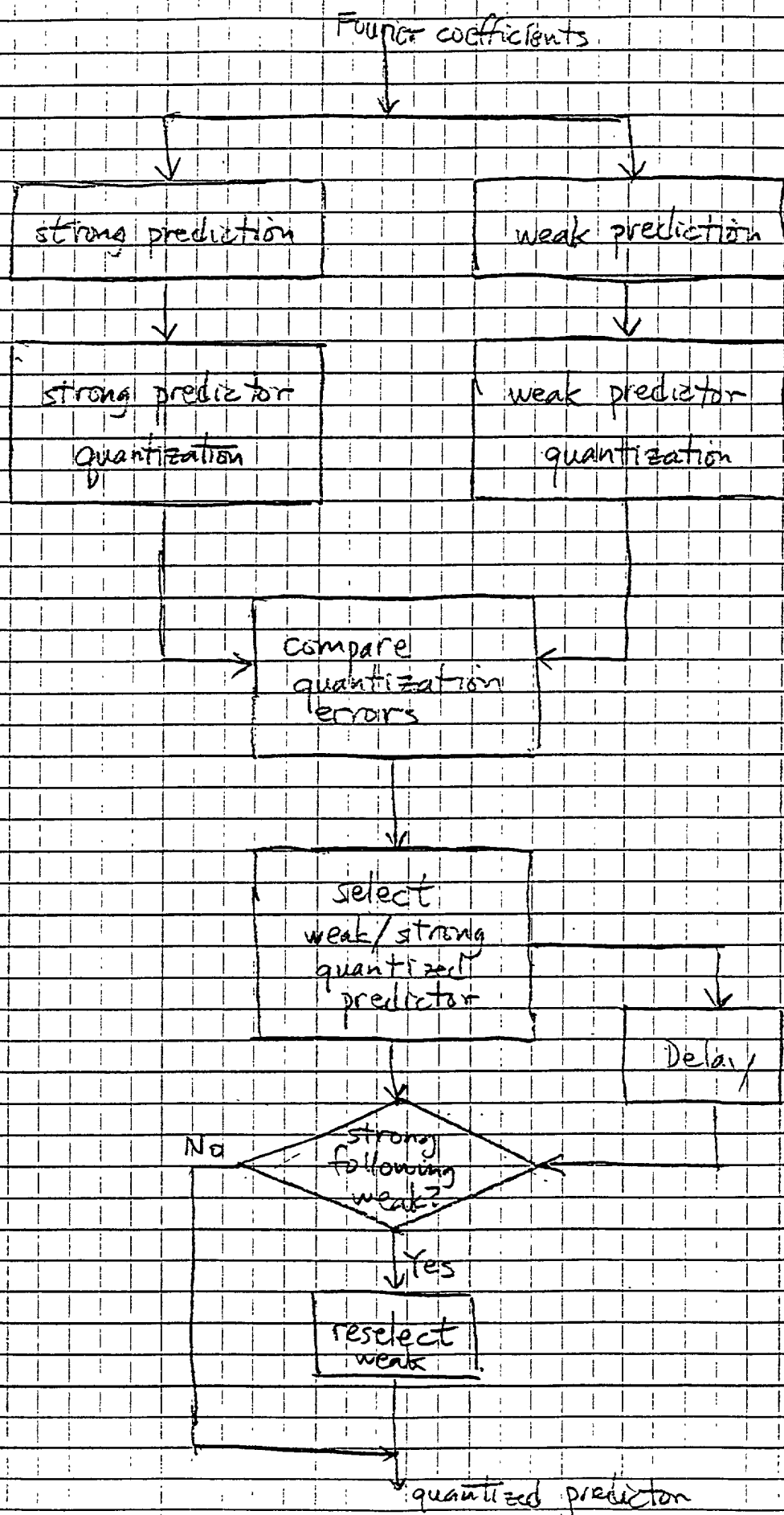


Fig. 1b



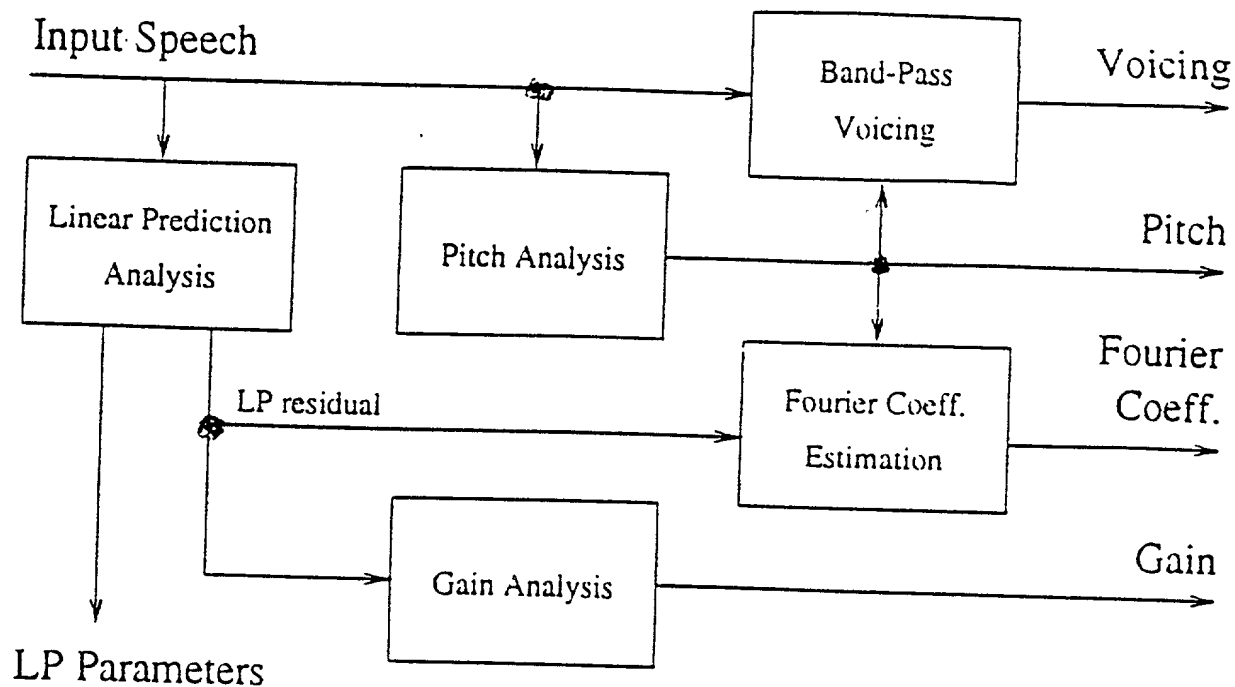


Figure 2a MELP analysis

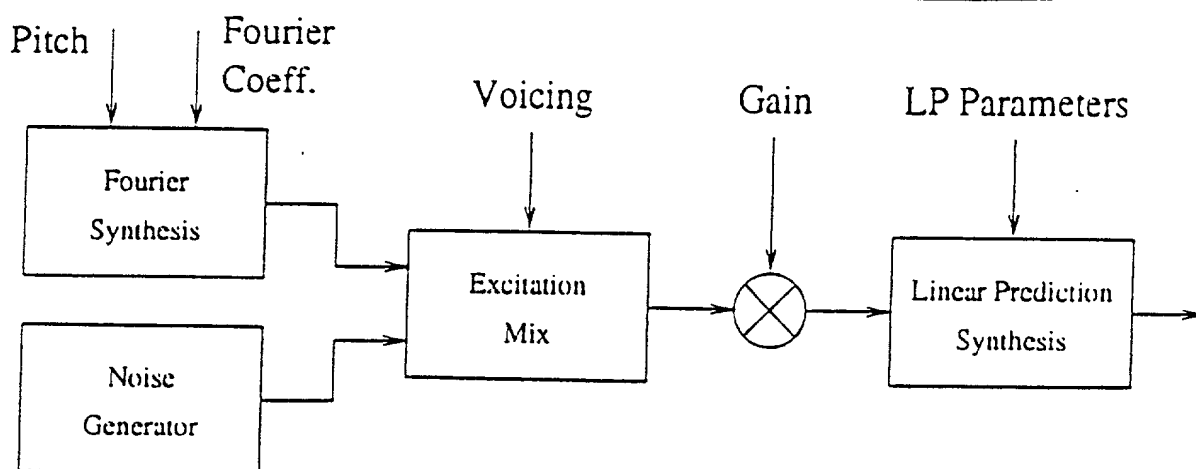
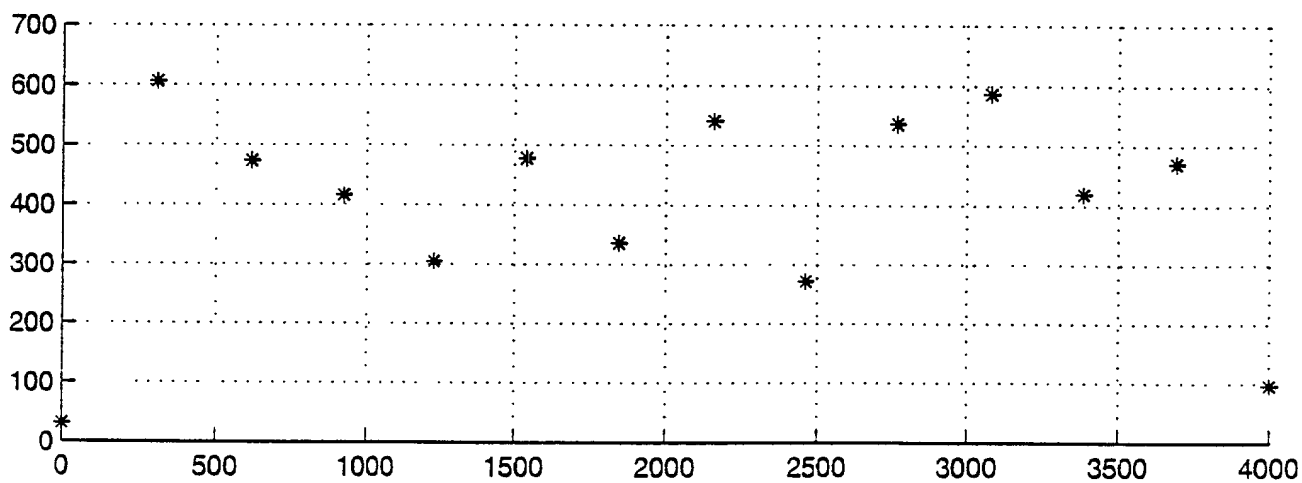


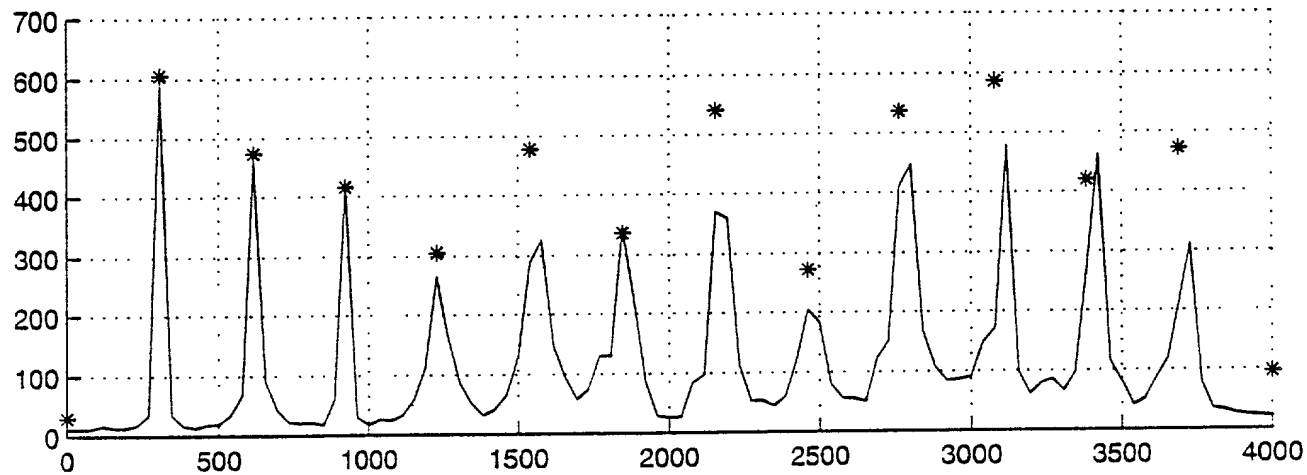
Figure 2b MELP synthesis



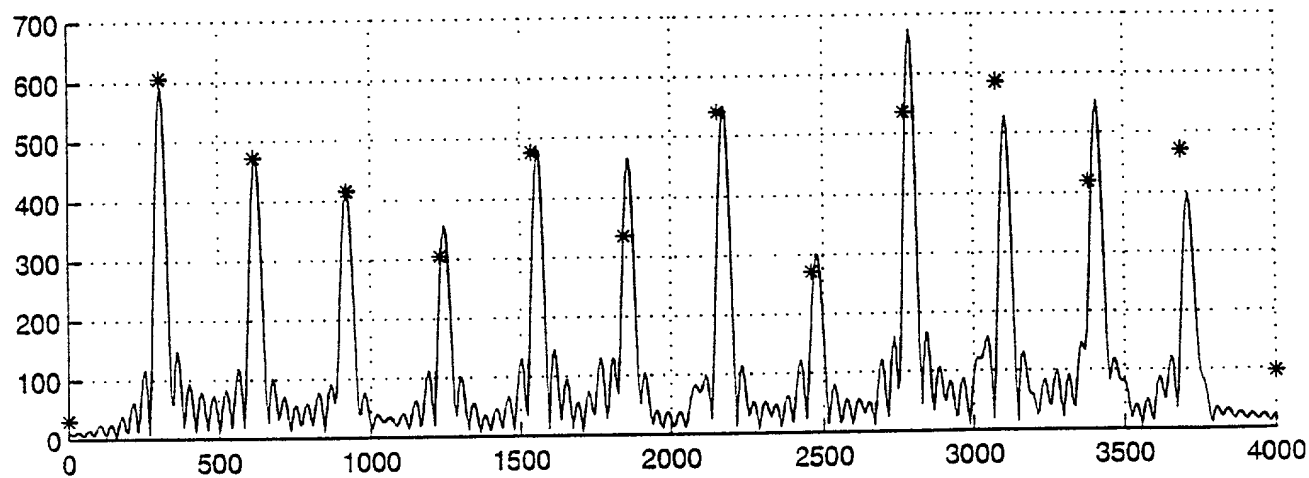
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1.2



11



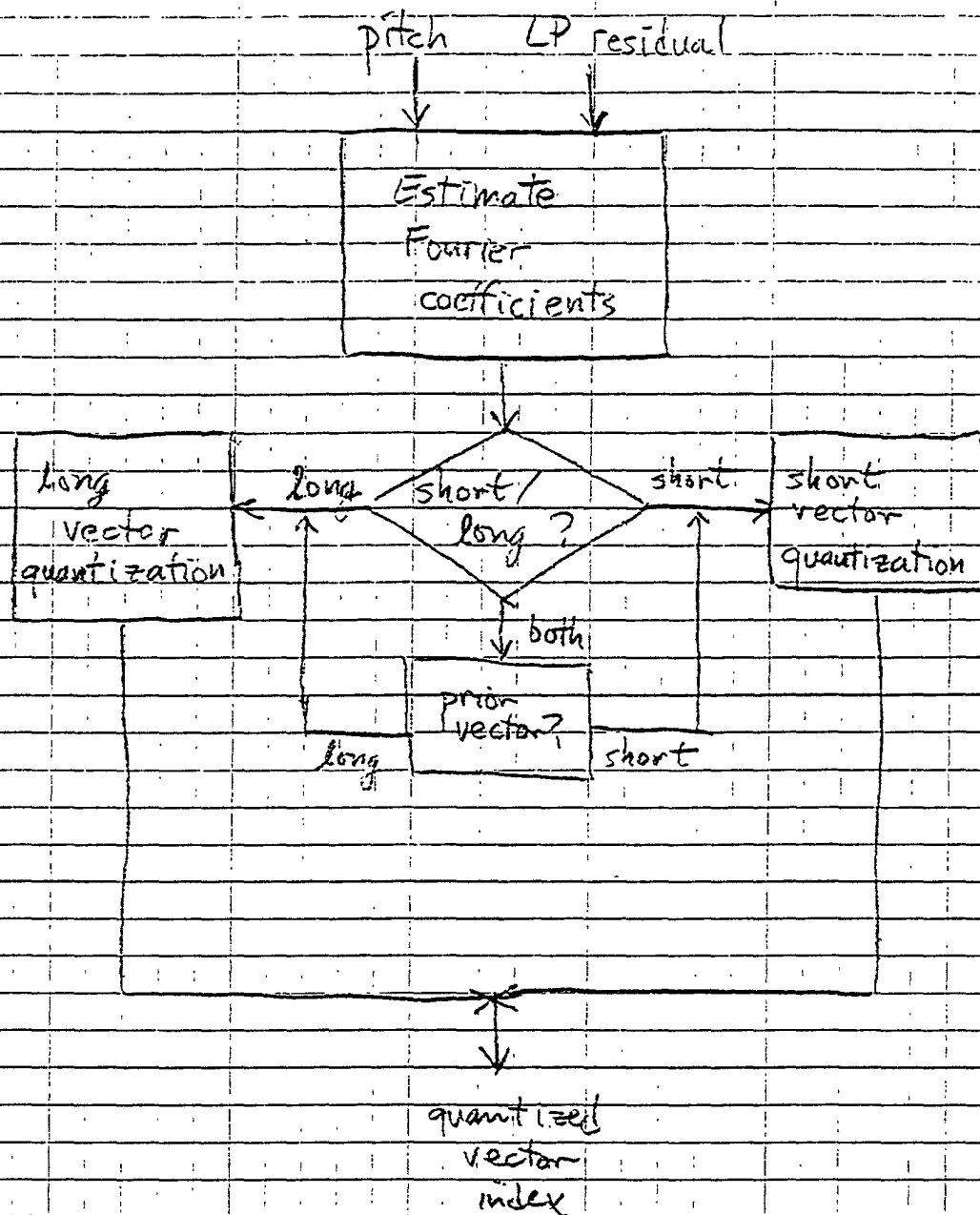


Fig. 1a

COMBINED DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name, and I verily believe that I am the original, first and sole inventor if only one name is listed below, or an original, first and joint inventor if plural inventors are named below, of the subject matter which is claimed and for which a patent is sought on the invention entitled: **Spectral Harmonic Encoding in Speech**

**Compression**, which:

(a)   X   is attached hereto.

(b)            was filed on            as Serial No.           .

(c)            was described and claimed in PCT International Application No.

           filed on            and as amended under PCT Article 19 on            (if any).

I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment specifically referred to in the oath or declaration;

No application for patent or inventor's certificate on this invention has been filed by me or by my legal representatives or assigns in any country foreign to the United States of America;

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations Section 1.56(a);

I hereby claim that benefit under Title 35, United States Code Section 120 of any United States applications listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

**Serial No. 60/124,089, filed on 03/12/1999.**

As a named inventor, I hereby appoint the following attorneys to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

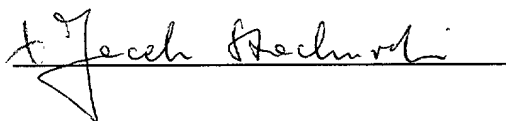
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I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both under Section 1001 of Title 18 of the United States Code, and that such willful statements may jeopardize the validity of the application or any patent issuing thereon.

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